

# statistical bulletin

january 9, 1974

vol. 33 no. 2

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united states securities and exchange commission  
washington, d. c. 20549

**ROUND-LOT SHARE VOLUME ON THE NEW YORK STOCK EXCHANGE**  
(SHARES AND WARRANTS)<sup>1/</sup>

Week Ended December 14, 1973

Trade Date 6	Total Reported Volume 9	Transactions of Members for Own Account, Except for Odd-Lot Dealer <sup>2/</sup>			51 NYSERLI
		As Specialists 10	As Floor Traders 20	Others 30	
Mon. 51 Purchases	18,791,830	2,712,920	159,800	1,325,101	
52 Sales-Total	18,791,830	2,893,230	78,700	1,331,770	
53 -Short	1,490,740	884,170	28,900	280,500	
Tues. 54 Purchases	20,249,260	2,961,830	72,700	1,473,011	
55 Sales-Total	20,249,260	2,777,540	137,800	1,535,450	
56 -Short	1,488,070	798,570	49,000	341,450	
Wed. 57 Purchases	18,413,970	2,815,930	105,600	1,460,364	
58 Sales-Total	18,413,970	2,278,600	96,900	1,074,424	
59 -Short	1,029,230	465,660	29,100	178,200	
Thurs. 10 Purchases	18,230,470	2,429,010	110,100	1,300,182	
11 Sales-Total	18,230,470	2,384,080	94,200	1,338,204	
12 -Short	1,261,180	590,790	21,900	210,250	
Fri. 13 Purchases	20,167,330	3,127,530	129,400	1,737,517	
14 Sales-Total	20,167,330	3,270,700	132,500	1,582,358	
15 -Short	1,620,690	840,910	29,400	276,900	
WEEK 16 Purchases	95,852,860	14,047,220	577,600	7,296,175	
17 Sales-Total	95,852,860	13,604,150	540,100	6,862,206	
18 -Short	6,889,910	3,580,100	158,300	1,287,300	

<sup>1/</sup> Warrants have been included with share volume since January 3, 1972.

<sup>2/</sup> The term "members" includes regular Exchange members, Exchange allied members and Exchange member organizations. Transactions for the odd-lot account of the odd-lot dealer are reported separately. All sales totals include short sales.

**SHARE VOLUME FOR ODD-LOT ACCOUNTS  
OF ODD-LOT DEALER ON THE NEW YORK STOCK EXCHANGE**

Week Ended December 14, 1973

Trade Date 6	Customers' Odd-Lot Transactions 1/ 9		Dealer Round-Lot Transactions 27		NYSEOL2 31
	Shares	Value 17	Shares	Value 35	
01 Purchases	436,202	14,817,778	186,040	5,176,095	Mon.
02 Sales-Total	452,898	17,872,648	171,720	7,133,250	
03 -Short	9,507	665,612	0	0	
04 Purchases	457,223	16,687,355	154,050	4,905,731	Tues.
05 Sales-Total	488,246	19,311,171	262,970	10,056,663	
06 -Short	11,004	745,793	0	0	
07 Purchases	322,145	11,732,813	84,570	2,427,178	Wed.
08 Sales-Total	454,256	17,896,340	221,980	8,856,378	
09 -Short	16,490	1,175,641	0	0	
10 Purchases	304,640	10,572,693	100,230	2,507,305	Thurs.
11 Sales-Total	439,214	17,875,985	221,190	9,560,429	
12 -Short	19,034	1,354,862	0	0	
13 Purchases	322,468	11,974,842	116,850	3,646,578	Fri.
14 Sales-Total	411,515	16,366,311	195,320	8,036,394	
15 -Short	14,308	1,057,878	0	0	
16 Purchases	1,842,678	65,785,481	641,740	18,662,887	WEEK
17 Sales-Total	2,246,129	89,322,455	1,073,180	43,643,114	
18 -Short	70,343	4,999,786	0	0	

1/ In odd-lot transactions, customers' purchases are dealers' sales and sales are dealers' purchases.

**NOTE:** All sales totals include short sales

ODD-Lot CUSTOMERS PURCHASES AND SALES ON THE NEW YORK STOCK EXCHANGE  
IN 100 SELECTED COMMON STOCKS

NAME OF STOCK	WEEK ENDED			WEEK ENDED			WEEK ENDED			WEEK ENDED		
	NOVEMBER 30, 1973			DECEMBER 07, 1973			DECEMBER 14, 1973			DECEMBER 21, 1973		
	PURCHASES	SALES		PURCHASES	SALES		PURCHASES	SALES		PURCHASES	SALES	
ADMIRAL CORPORATION	*****	*****	0	*****	*****	767	*****	*****	530	*****	*****	462
ALLIED CHEMICAL CORPORATION	1,627	9,902	0	1,617	11,987	1,308	1,308	710	1,308	710	710	405
ALLIS CHALMERS CORP.	834	1,656	834	1,311	1,280	1,280	1,311	9,299	1,308	9,299	887	7,969
ALUMINUM CO. OF AMERICA	2,689	5,220	2,689	832	1,724	1,724	832	1,670	866	1,670	1,093	2,219
AMERICAN AIRLINES, INC.	2,442	3,633	2,442	4,513	4,485	4,485	4,513	3,502	973	3,502	740	1,619
AMERICAN BRANDS, INC.	4,736	4,038	4,736	3,911	3,558	3,558	3,911	2,606	4,859	2,606	4,722	6,037
AMERICAN CAN COMPANY	11,277	5,623	11,277	3,949	3,633	3,633	3,949	3,157	1,997	3,157	1,739	2,994
AMERICAN CYANAMID CO.	32,112	50,643	32,112	5,882	4,421	4,421	5,882	3,659	2,566	3,659	3,503	3,998
AMERICAN MOTORS CORP.	2,157	2,379	2,157	32,909	49,345	49,345	32,909	4,191	6,758	4,191	6,049	3,301
AMERICAN TEL. & TEL. CO.	1,101	2,379	1,101	4,800	2,601	2,601	4,800	2,529	23,950	2,529	18,114	57,305
AMF INCORPORATED	944	4,731	944	1,000	2,064	2,064	1,000	2,682	3,766	2,682	2,735	2,274
AMPEX CORPORATION	365	1,354	365	1,000	2,064	2,064	1,000	2,682	1,190	2,682	592	2,925
ANACONDA COMPANY	1,102	2,971	1,102	334	3,756	3,756	334	4,465	1,263	4,465	1,006	2,766
APCO CORPORATION	1,491	1,915	1,491	358	1,286	1,286	358	1,300	1,263	1,300	472	1,658
AVCO CORPORATION	1,046	6,110	1,046	913	2,931	2,931	913	1,720	1,122	1,720	943	3,133
AVNET, INC.	3,276	4,553	3,276	1,152	1,720	1,720	1,152	803	1,122	803	676	1,962
BETHLEHEM STEEL CORPORATION	4,094	1,944	4,094	1,132	4,461	4,461	1,132	4,441	1,536	4,441	1,948	6,045
BOEING COMPANY	2,526	14,599	2,526	2,751	4,317	4,317	2,751	4,441	4,241	4,441	5,166	5,751
BUNDSWICK CORPORATION	18,865	15,205	18,865	3,616	4,422	4,422	3,616	971	4,982	971	2,366	1,284
CHRYSLER CORPORATION	1,335	1,195	1,335	2,360	11,259	11,259	2,360	15,459	5,142	15,459	3,720	5,967
COLUMBIA GAS SYSTEM, INC.	1,188	2,722	1,188	29,748	18,851	18,851	29,748	10,806	24,991	10,806	12,942	14,341
COMMONWEALTH OIL REFINING CO.	8,535	9,428	8,535	937	3,114	3,114	937	2,810	963	2,810	794	1,927
COMMUNICATIONS SATELLITE CORP.	1,602	1,688	1,602	582	1,382	1,382	582	1,132	1,191	1,132	1,050	1,266
CONSOLIDATED EDISON CO. OF N.	2,974	4,594	2,974	1,865	2,785	2,785	1,865	2,378	1,839	2,378	1,023	1,502
CONTINENTAL AIRLINES, INC.	2,745	3,012	2,745	12,097	9,624	9,624	12,097	6,952	7,884	6,952	16,181	7,996
CONTROL DATA CORPORATION	2,839	9,651	2,839	2,394	2,421	2,421	2,394	2,456	1,756	2,456	1,653	2,725
DART INDUSTRIES, INC.	2,228	8,741	2,228	2,711	4,428	4,428	2,711	5,619	3,926	5,619	1,599	5,234
DOW CHEMICAL COMPANY	4,183	5,061	4,183	2,260	2,471	2,471	2,260	2,966	1,832	2,966	1,754	2,970
DU PONT DE NEMOURS (E. I.) & C.	15,298	34,197	15,298	1,979	6,853	6,853	1,979	7,433	2,903	7,433	2,660	6,159
EASTERN AIR LINES, INC.	737	1,227	737	3,249	10,177	10,177	3,249	7,441	3,241	7,441	3,112	5,874
EASTMAN KODAK COMPANY	6,685	36,066	6,685	4,925	4,491	4,491	4,925	4,442	5,342	4,442	5,007	5,891
ESMARK INC.	9,075	13,965	9,075	17,260	41,541	41,541	17,260	20,883	16,998	20,883	13,386	17,853
EXXON CORPORATION	486	455	486	988	968	968	988	870	870	870	722	810
FAIRCHILD CAMERA & INSTRUMENT	9,075	13,965	9,075	8,162	24,508	24,508	8,162	21,505	10,035	21,505	9,576	21,074
FAIRCHILD INDUSTRIES, INC.	2,783	3,764	2,783	7,855	5,017	5,017	7,855	6,735	8,737	6,735	5,086	2,454
FORD MOTOR COMPANY	5,705	21,022	5,705	345	1,133	1,133	345	578	326	578	535	1,022
GAF CORPORATION	1,850	7,882	1,850	18,903	13,754	13,754	18,903	8,578	19,159	8,578	11,898	8,941
GENERAL DYNAMICS CORP.	88,603	7,882	88,603	3,745	3,618	3,618	3,745	2,572	3,206	2,572	2,176	4,152
GENERAL FOODS CORPORATION	6,330	1,165	6,330	588	2,074	2,074	588	1,433	429	1,433	492	1,643
GENERAL MOTORS CORPORATION	5,021	5,825	5,021	6,961	17,109	17,109	6,961	3,094	9,076	3,094	9,407	11,850
GEN'L TEL. & ELECTRONICS CORP.	456	460	456	2,897	4,171	4,171	2,897	4,824	1,803	4,824	916	3,354
GOODYEAR TIRE & RUBBER CO.	27,433	14,068	27,433	74,768	68,396	68,396	74,768	9,893	9,388	9,893	54,601	5,537
GREAT WESTERN FINANCIAL CORP.	100	451	100	6,546	11,261	11,261	6,546	5,312	4,522	5,312	3,107	10,585
GULF OIL CORPORATION	2,987	7,981	2,987	7,932	5,579	5,579	7,932	585	9,369	5,579	14,758	7,293
GULF & WESTERN INDUSTRIES	18,270	55,928	18,270	443	684	684	443	566	566	566	252	1,008
HIGH VOLTAGE ENGINEERING CO.	100	451	100	20,947	14,716	14,716	20,947	12,639	20,807	12,639	20,374	12,755
HONEYWELL, INC.	2,987	7,981	2,987	476	3,086	3,086	476	2,907	1,024	2,907	561	2,450
INT'L BUSINESS MACHINES CORP.	2,987	7,981	2,987	385	340	340	385	364	3,365	364	131	671
	18,270	55,928	18,270	2,620	4,781	4,781	2,620	4,109	3,086	4,109	2,730	4,073
				24,413	55,265	55,265	24,413	42,207	34,805	42,207	30,082	49,603

000-L0T CUSTOMERS PURCHASES AND SALES ON THE NEW YORK STOCK EXCHANGE  
IN 100 SELECTED COMMON STOCKS

NAME OF STOCK	WEEK ENDED		WEEK ENDED		WEEK ENDED		WEEK ENDED	
	NOVEMBER 30, 1973		DECEMBER 07, 1973		DECEMBER 14, 1973		DECEMBER 21, 1973	
	PURCHASES	SALES	PURCHASES	SALES	PURCHASES	SALES	PURCHASES	SALES
INTERNATIONAL HARVESTER CO.	5,058	4,474	6,528	2,940	4,713	3,511	3,328	2,619
INT'L NICKEL CO. OF CANADA	507	1,765	375	2,557	773	1,798	615	1,336
INTERNATIONAL PAPER COMPANY	399	4,601	969	4,415	651	3,951	901	3,135
ITEK CORPORATION	3,531	2,572	1,358	1,903	10,576	3,733	2,558	2,032
JOHNS-MANVILLE CORP.	1,761	1,647	1,786	2,165	2,355	1,775	1,441	1,894
LTV CORPORATION	572	2,358	850	2,650	355	1,915	350	2,897
LEAR SIEGLER, INC.	864	2,098	4,924	1,827	1,146	1,966	892	1,964
LITTON INDUSTRIES, INC.	2,869	9,534	1,635	11,819	2,004	1,307	1,481	17,469
MAGNAVOX COMPANY	4,123	4,229	4,285	3,693	5,195	4,912	4,323	6,556
MARCOR, INC.	522	3,044	782	2,584	560	1,709	436	1,833
MARTIN-MARIETTA CORP.	1,834	2,556	1,810	2,108	1,616	1,760	1,578	2,082
MCDONNELL DOUGLAS CORP.	2,311	6,776	3,206	8,321	1,803	6,542	1,999	7,235
MINNESOTA MINING & MFG. CO.	4,229	12,362	5,787	13,610	6,334	8,571	5,706	6,239
MONSANTO COMPANY	5,039	8,993	7,158	10,089	7,524	4,046	6,916	4,345
MOTOROLA, INC.	914	2,277	965	2,477	1,043	2,011	1,003	1,585
OCCIDENTAL PETROLEUM CO.	4,802	10,494	5,085	8,404	5,679	9,590	4,449	11,548
OHENS-ILLINOIS, INC.	1,647	2,189	499	2,191	918	2,597	601	2,001
PAN AMERICAN WORLD AIRWAYS	3,464	6,351	7,299	6,833	6,016	5,967	3,615	8,147
PASCO INCORPORATED	335	316	385	263	185	308	225	202
PENN CENTRAL COMPANY	8,552	5,643	4,976	5,242	3,375	5,643	3,252	8,604
PHILLIPS PETROLEUM CO.	2,856	10,431	2,443	8,322	3,209	8,117	2,581	6,828
POLAROID CORPORATION	7,236	13,080	8,834	10,453	6,173	7,197	4,071	5,754
PROCTER & GAMBLE CO.	1,442	7,048	2,278	6,076	2,305	9,206	2,268	7,684
R. J. REYNOLDS INDUSTRIES, IN	2,452	4,213	4,137	3,851	3,593	2,655	4,491	3,469
RCA CORPORATION	20,162	14,567	25,418	12,961	15,953	11,119	16,292	14,758
RAYTHEON COMPANY	609	1,826	542	1,717	548	767	479	839
REICHOOLD CHEMICALS, INC.	340	774	751	500	422	619	331	521
ROCKWELL INTL. CORP.	1,955	4,231	1,679	4,062	3,357	2,996	2,266	3,464
SANTA FE INDUSTRIES	2,535	4,334	5,095	4,122	2,508	3,624	2,317	3,894
SCM CORPORATION	2,454	3,096	2,274	3,063	695	3,106	1,134	4,254
SEARS, ROEBUCK & CO.	7,120	18,938	9,090	18,650	6,950	12,571	6,424	14,227
SINGER COMPANY	3,422	3,134	5,800	4,076	5,697	2,718	4,807	4,602
SPIERRY RAND CORPORATION	1,395	8,507	1,697	5,682	1,767	4,397	1,566	2,986
STANDARD OIL CO. OF CALIF.	7,132	11,475	7,391	8,019	13,648	7,516	10,744	8,423
TELEDYNE, INC.	2,236	4,897	2,716	5,716	1,597	4,938	527	7,414
TENNECO, INC.	4,165	7,200	5,290	5,709	4,696	3,964	3,345	4,750
TEXACO INC.	19,720	17,010	16,021	13,987	13,857	13,651	10,436	12,765
TEXASGULF INC.	1,625	4,021	908	3,096	1,204	3,195	711	1,893
THIOLK CHEMICAL CORP.	2,285	4,042	3,302	5,552	3,971	3,516	3,125	3,568
THIOLK INSTRUMENTS, INC.	851	804	755	800	463	929	821	993
TRANS WORLD AIRLINES, INC.	3,625	2,401	4,654	1,893	4,485	1,506	4,337	2,308
UNION CARBIDE CORP.	9,694	8,934	15,286	7,624	13,753	6,337	9,173	7,258
UNITED AIRCRAFT CORP.	2,302	1,905	2,211	2,211	4,921	2,092	1,899	1,834
UNITED NUCLEAR CORP.	2,222	1,762	970	1,266	1,647	1,281	706	1,076
U.S. STEEL CORPORATION	780	12,321	1,687	8,607	1,295	8,334	1,909	14,462
WARNER LAMBERT CO.	2,744	6,077	2,653	6,201	3,579	4,939	2,511	5,584
WESTERN UNION CORPORATION	6,572	3,167	10,080	2,901	15,327	4,946	11,512	4,901
WESTINGHOUSE ELECTRIC CORP.	6,198	6,564	6,136	6,291	5,929	4,443	14,197	8,028
W.M. WOODWORTH COMPANY	2,555	3,938	2,706	3,253	4,113	2,637	5,087	4,117
XEROX CORPORATION	7,071	26,595	9,461	27,060	8,755	17,263	8,979	14,877
TOTALS ***	513,262	805,553	567,086	751,252	589,944	621,299	472,143	664,170



**ROUND-LOT AND ODD-LOT SHARE VOLUME  
ON THE AMERICAN STOCK EXCHANGE  
(SHARES)**

Week Ended December 14, 1973

Trade Date 6	Total Round-Lot Transactions 9	Round-Lot Transactions of Members For Own Account <sup>1</sup>			Odd-Lot Transactions Of Customers <sup>2</sup> 41
		As Specialists <sup>2</sup> 18	As Floor Traders 26	Others 33	
Mon. 81 Purchases	2,772,955	387,120	15,500	177,150	36,884
82 Sales-Total	2,772,955	469,705	23,550	155,700	59,032
83 -Short	93,600	59,400	7,700	8,600	50
Tues. 84 Purchases	3,112,600	483,130	31,900	197,444	38,467
85 Sales-Total	3,112,600	440,390	26,550	134,258	61,348
86 -Short	93,280	49,500	6,300	16,600	0
Wed. 87 Purchases	3,292,742	465,375	45,500	287,100	27,630
88 Sales-Total	3,292,742	462,675	32,800	191,600	59,174
89 -Short	77,605	27,070	4,000	8,000	50
Thurs. 90 Purchases	3,987,495	438,385	31,400	244,600	27,737
91 Sales-Total	3,987,495	472,500	32,450	228,750	59,702
92 -Short	86,570	34,100	5,700	10,700	25
Fri. 93 Purchases	3,085,165	433,530	25,700	193,650	28,186
94 Sales-Total	3,085,165	491,560	26,900	180,050	59,738
95 -Short	103,720	37,800	7,100	23,100	50
WEEK 96 Purchases	16,250,957	2,207,540	150,000	1,099,944	158,904
97 Sales-Total	16,250,957	2,336,830	142,250	890,358	298,994
98 -Short	454,775	207,870	30,800	67,000	175

<sup>1</sup> The term "members" includes all regular and associate Exchange members, and member firms, general, special and limited partners in member firms, and voting and non-voting stockholders in member corporations.

<sup>2</sup> On the American Stock Exchange, all odd-lot transactions are handled by specialists, and their round-lot purchases and sales for odd-lot account are not segregated from their other round-lot transactions. In odd-lot transactions, customers' purchases are specialists' sales and customers' sales are specialists' purchases.

NOTE: All sales totals include short sales.

1/  
FORM 144 FILINGS FOR WEEK ENDED 12/28/73

THE FOLLOWING FORMS 144 WERE PROCESSED IN THE SECURITIES/EXCHANGE COMMISSION FOR THE WEEK INDICATED ABOVE. ACCEPTANCE OF FORM 144 DOES NOT CONSTITUTE ANY FINDING THAT IT HAS BEEN FILED AS REQUIRED OR THAT THE INFORMATION SUBMITTED IS TRUE, CURRENT OR COMPLETE.

ISSUER ISSUE SELLER NAME	SHARES TO SELL	APPROX. DATE OF SALE	ISSUER ISSUE SELLER NAME	SHARES TO SELL	APPROX. DATE OF SALE
AD INUS INC COM OLLINS ROBERT R & SHIRLEY C JENKINS	25,500	12/14/73	NICKEL CHARLES C CUST BEN	100	12/20/73
TOTAL.....	25,500		TOTAL.....	1,100	
AFFILIATED BANKSHARES CULU INC COM TRUST FBO WICKBAUGH J KERNAN DTU 022470	5,000	12/17/73	DATA 100 CORP COM TRUST FBO CARTER BESSIE B	64	12/18/73
TOTAL.....	5,000		TOTAL.....	64	
ALUMINUM CO AMER COM WESTERN PENNSYLVANIA HOSPITAL	1,050	12/18/73	DATATROL INC COM EDET EMMA A	250	12/13/73
TOTAL.....	1,050		TOTAL.....	250	
AMERICAN BIOMEDICAL CORP COM SCHMETKE CLAUDINE	2,700	/ /	DAVOS INC COM KAHN MALCOLM B	16,333	/ /
TOTAL.....	2,700		TOTAL.....	16,333	
ANDERSON CLAYTON & CO COM GRIFFIN BOB J	2,000	12/15/73	DISCOVERY OIL LTD COM HAYS JAMES T	10,000	12/21/73
TOTAL.....	2,000		TOTAL.....	10,000	
APPLIED DIGITAL DATA SYS INC COM JACOBS JOHN F	750	/ /	DREYFUS CORP COM FAUST STANLEY	1,000	12/26/73
TOTAL.....	750		TOTAL.....	1,000	
ARCHUN PURE PRODS CORP COM DAVIES PAUL L & FAITH C	6,132	12/20/73	EARTH SCIENCES INC CL A AMERICAN HUMANIST ASSOCIATION	1,000	12/20/73
WASHBURN JUDITH D	1,270	12/20/73	TOTAL.....	1,000	
TOTAL.....	7,402		ELECTRO NUCLEONICS INC COM ABAJIAN VINCENT V	1,500	01/31/74
ATWOOD OCEANICS INC COM RUTE JAN	18,000	/ /	TOTAL.....	1,500	
TOTAL.....	18,000		ELPAC INC COM BAILEY RICHARD E SR	37,000	12/13/73
BEATRICE FOODS CO COM SMITH PHILIP C & DOROTHY E	4,000	12/19/73	TOTAL.....	37,000	
TOTAL.....	4,000		ENERGY MINERALS CORP COM DROULLARD E R & EILEEN L	40,000	12/20/73
BROWN FURMAN DISTILLERS CORP CL A FRAZIER HARRY S JR	500	08/28/73	TOTAL.....	40,000	
TOTAL.....	500		GNIS BUSINESS FORMS INC COM SCHWEN WILLIAM R	1,000	12/20/73
BURNS H L CORP COM KEPPE DONALD L	10,000	12/17/73	TOTAL.....	1,000	
TOTAL.....	10,000		FIRST NATL BANKSHARES FLA INC COM UNIVERSITY OF ILLINOIS FOUND	40	/ /
CAMIN INDS CORP COM GRAZEN ALFRED E	2,000	11/30/73	TOTAL.....	40	
TOTAL.....	2,000		FIRST TULSA BANCORPORATION INC		
CERTAIN TEED PRODS CORP COM FISCHEK JOHN J	6,080	12/17/73			
TOTAL.....	6,080				
CESSNA AIRCRAFT CO COM WALLACE CHANE L	3,000	12/28/73			
TOTAL.....	3,000				
CLINICAL SCIENCES INC COM KAHN MALCOLM B	3,500	/ /			
TOTAL.....	3,500				
COBE LABS INC COM COLLINS ROBERT M	2,000	12/17/73			
TOTAL.....	2,000				
COCA COLA CO COM ATLANTA HISTORICAL SOCIETY INC	480	12/19/73			

1/ See Page 14.

ISSUER TO SELLER NAME	SHARES TO SELL	APPROX. DATE OF SALE	ISSUER TO SELLER NAME	SHARES TO SELL	APPROX. DATE OF SALE
COM WRIGHT WILLIAM LIVING TR DTD 092000	300	/ /	EBRIGHT DON H	500	12/17/73
TOTAL.....	300		TOTAL.....	500	
FISHER FOODS INC COM OWEN DUNNA	1,000	12/19/73	LISTFAX CORP CL A MILOWITZ LAWRENCE	5,650	12/21/73
TOTAL.....	1,000		TOTAL.....	5,650	
FOTUMAT CORP COM GRUSFELD JAMES	18,750	12/17/73	LITTON INDS INC COM STOUFFER GERTRUDE D	11,000	01/01/74
TOTAL.....	18,750		STOUFFER VERNON	22,000	01/01/74
GENERAL HEALTH SVCS INC COM BURTON BRUCE M	7,000	12/18/73	TOTAL.....	33,000	
TOTAL.....	7,000		MARATHON OIL CO COM HABERMEHL CLARENCE E	9,500	12/11/73
GENESCO INC COM SRAEL JUSTIN B	10,000	12/16/73	TOTAL.....	9,500	
TOTAL.....	10,000		MEDTRONIC INC COM DANN NORMAN	4,000	12/19/73
GINUS INC COM FISCHER LOUIS C	20,000	12/17/73	TOTAL.....	4,000	
TOTAL.....	20,000		MEDISCIENCE TECHNOLOGY CORP COM LENDX THOMAS A & CATHERINE L	2,250	12/21/73
GOLDEN CYCLE CORP COM GOODMAN MAURICE	5,000	12/19/73	TOTAL.....	2,250	
TOTAL.....	5,000		MERIDIAN INDS INC COM WILLIAMS VERN C	4,000	12/17/73
GREENMAN BRUS INC COM UNITED JEWISH APPEAL OF GREATER NY INC	3,500	12/19/73	TOTAL.....	4,000	
TOTAL.....	3,500		MERRILL LYNCH & CO INC COM FERRIS DAKIN B	6,000	12/18/73
HARVEY GROUP INC COM SCHWARTZ LEONARD	2,625	12/26/73	TRUST FBO SELLERS WALLACE O 271217	3,000	12/19/73
TOTAL.....	2,625		TRUST FBO SELLERS WALLACE U 27218	3,000	12/19/73
HEILIG MEYERS LU COM CONGREGATION DETH ANABAH	200	12/19/73	TOTAL.....	12,000	
TOTAL.....	200		MOLEX INC COM POHLMANN HERBERT CHARLES JR	6,500	12/18/73
MILLHAVEN INC COM WICK MARY JANE	738	12/26/73	TOTAL.....	6,500	
TOTAL.....	738		MONITOR LABS INC COM GIBBS ROBERT F	1,000	/ /
MODUSON MUUSCS INC COM SCHULNIR ALBERT	450	12/18/73	TOTAL.....	1,000	
SCHULNIR JULIUS	450	12/18/73	ROSTEK CORP COM DONNELLY ROBERT M	600	12/18/73
TOTAL.....	900		YOUNG CHEN Y	2,500	12/18/73
HYDRO NUCLEAR CORP COM MURST ROBERT H	1,000	12/17/73			
TOTAL.....	1,000				
HYDROKON EUROPE INC COM BRUNIE CHARLES M	1,000	12/27/73			
TOTAL.....	1,000				
IPM TECHNOLOGY INC COM GRUSFELD JAMES	5,310	12/14/73			
TOTAL.....	5,310				
INSILCO CORP COM MELSTAUTER ARNOLD	32,000	12/20/73			
TOTAL.....	32,000				
INTEL CORP COM EAKLE WALTER A	450	12/07/73			



ISSUER ISSUE SELLER NAME	SHARES TO SELL	APPROX. DATE OF SALE	ISSUER ISSUE SELLER NAME	SHARES TO SELL	APPROX. DATE OF SALE
NATIONAL MED LAKE INC CCM UNIVERSITY OF VERMONT	3,100				
TOTAL.....	3,100				
NEWPORT LABS INC CCM PRELL DONALD B	144	12/17/73	SPRAGUE ELEC CO CCM SPRAGUE JOHN L	1,000	
TOTAL.....	144		TOTAL.....	200	12/13/73
NORTHERN NAT GAS CO CCM MERRIAM J P & LUCY L	10,000	11/01/73	STORER BROADCASTING CO CCM SULLIVAN FRANCIS W	200	
TOTAL.....	10,000		TOTAL.....	3,000	12/19/73
MERRIAM JOHN F	133	12/19/73	SUN OIL CO CCM MEADVIN JOSEPH	3,000	
TOTAL.....	2,133		TOTAL.....	1,200	12/17/73
NORTHROP KING & CO CCM CHILDRENS HEALTH CENTER INC	1,000	12/07/73	SUNSET INDS INC CCM TUGEND HARRY	1,200	
TOTAL.....	1,000		TOTAL.....	1,575	12/17/73
P E C INDS INC CCM JELSTRUM HARRY E	2,000	12/19/73	TEKTRONIX INC CCM CATLIN GABEL SCHOOL	1,575	
TOTAL.....	2,000		ECUMENICAL MINISTRIES OF OREGON	400	12/17/73
PAINE WEBBER JACKSON & CURTIS CCM BLEVINS PHILIP E	600	12/21/73	OREGON MUSEUM OF SCIENCE & INDUSTRY	200	12/19/73
DAVIS ROBERT J	300	12/19/73	TOTAL.....	300	12/26/73
TOTAL.....	900		TESORO PETE CORP CCM	900	
PAVELLE CORP CCM STRAUS RALPH I	4,500	12/19/73	NITED BAY AREA CRUSADE	400	/ /
TOTAL.....	4,500		TOTAL.....	400	
PAY N SAVE CORP CCM DEAN MONTE L	12,000	12/21/73	TEXAS COMM BANCSHARES INC CCM HOLLIDAY RAYMOND M	2,154	/ /
TOTAL.....	12,000		TOTAL.....	2,154	
PERTEC CORP CCM WHITE WELU & CO	3,051	12/11/73	TEXAS OIL & GAS CORP CCM ELLIS J RALPH JR	1,000	12/20/73
POPE EVANS & RUBBINS INC CCM TEMPLE ISHAEL OF SOUTH MERRICK INC	500	12/20/73	TOTAL.....	1,000	
TOTAL.....	500		TEXTURED PRODS INC CCM BLONBERG GERALD	2,500	12/12/73
QUALITY INNS INTL INC CCM ZULA SAMUEL & GLORIA	2,059	12/18/73	CACON ROBERT A	3,780	12/12/73
TOTAL.....	2,059		TOTAL.....	6,280	
R T E CORP CCM JUNGBLUTH HAKULO J	5,000	12/18/73	TOKHEIM CORP CCM JACKSON ROBERT D JR	2,000	12/21/73
TOTAL.....	5,000		TOTAL.....	2,000	
RANGER OIL COA LTD CCM CRAIG DAVID C	249	12/10/73	TRANS UN CORP CCM		
GREENALL JOHN C T	51	12/10/73			
GREENALL JOHN G T	151	12/19/73			
MULCUMB HARRY D	500	12/10/73			
SHERIFF ROBERT M	100	12/19/73			
TOTAL.....	1,051				
RESCO U S INC CCM UNITED JEWISH FEDERATION	2,000	11/15/73			
TOTAL.....	2,000				
ROYAL BUSINESS FDS CORP CCM					

ISSUER ISSUE SELLER NAME	SHARES TO SELL	APPROX. DATE OF SALE	ISSUER ISSUE SELLER NAME	SHARES TO SELL	APPROX. DATE OF SALE
VANGORUM JENOME M	1,900	12/18/73			
TOTAL.....	1,900				
UNITED FOODS INC CCM BRITTIN WILLIAM A	4,000	/ /			
TOTAL.....	4,000				
UNIVERSITY PATENTS INC CCM SCHAUMWEGER WILLIAM J	2,250	12/18/73			
TOTAL.....	2,250				
VALLEYLAB INC CCM DUBISKY MICHAEL J	2,000	12/21/73			
TOTAL.....	2,000				
VAN CYK KESH CORP CCM POLLOCK CHARLES J	9,000	01/02/74			
TOTAL.....	9,000				
VELU BIND INC CCM GROSMITH CHARLES T THIRD	14,700	12/19/73			
TOTAL.....	14,700				
WARDS INC CCM WUTHARD JOSEPH A	2,800	12/17/73			
TOTAL.....	2,800				
WARNER LAMBERT CO CCM TRUST FBO MARKUE ANDREE S TRUST FBO MARKUE KITCHIE M	2,500	12/19/73			
TOTAL.....	5,000				
WESTERN CO NUKTH AMER CCM MOLLEY C MURPH & PATRICIA G	500	12/18/73			
TOTAL.....	500				
WEYERHAEUSER CO CCP GREAT WESTERN COUNCIL INC U C L A FOUNDATION	250	12/17/73			
TOTAL.....	500				
WILLIAMHOUSE REGENCY INC CCM UNITED JEWISH APPEAL OF GREATER NY INC	936	12/19/73			
TOTAL.....	936				
WIX CORP N L CCM BREVARD COLLEGE	293	12/18/73			
TOTAL.....	293				
XONICS INC CCM PROUDIAN ANDREW P	3,000	12/18/73			
TOTAL.....	3,000				

## FORM 8-K FILINGS AND AMENDMENTS PROCESSED FOR THE WEEK ENDED 12/28/73 1/

THE COMPANIES LISTED BELOW HAVE FILED REPORTS ON FORM 8-K FOR THE PERIODS INDICATED, RESPONDING TO THE ITEM NUMBERS SHOWN IN THE COLUMN. AMENDMENTS TO REPORTS PREVIOUSLY FILED ARE ALSO LISTED, IDENTIFYING THE ITEM OR ITEMS AMENDED. PHOTOCOPIES OF SUCH REPORTS AND AMENDMENTS MAY BE PURCHASED FROM THE COMMISSION'S PUBLIC REFERENCE SECTION (IN ORDERING, PLEASE GIVE MONTH AND YEAR OF REPORTS).

NAME OF ISSUER	RESPONSE TO ITEM	DATE OF REPORT	NAME OF ISSUER	RESPONSE TO ITEM	DATE OF REPORT
ADVANCED MERRY SYSTEMS INC	9,14	11/73	DISC INC OF AMERICA	4	11/73
AGRICULTURAL MANUFACTURING CORP	12,14	11/73	DISCOVERY OIL LTD	7,14	11/73
AIRCRAFT INSTRUMENT & DEVELOPMENT INC	15,14	11/73	DOWNTOWNER CORP	11,14	11/73
ALANTHUS CORP	2,13,14	11/73	DYNA JET CORP	2,7	11/73
ALPHA INDUSTRIES INC	10,14	11/73	DYNELL ELECTRONICS CORP	3	11/73
AMERICAN COMMUNITY SYSTEMS INC	2,13,14	11/73	EARTH SCIENCES INC	3	11/73
AMERICAN CYANAMID CO	3	11/73	EASTERN AIR LINES INC	4,7,8,14	11/73
AMERICAN GARDEN PRODUCTS INC	2,14	11/73	ELECTRON MACHINE CORP	13	11/72
AMERICAN GUAMANTY CORP RHODE ISLAND	2,3,6,10,13	11/73	ELIAS BROTHERS RESTAURANTS INC	7,14	06/73
AMERICAN HEALTH INDUSTRIES INC	7,8,14	11/73	ELPAC INC	13	11/73
AMERICAN HOME INVESTMENT CO	10	01/73	EQULTY PROPERTIES LTD 1973	2,11,14	11/73
AMERICAN LAFRANCE INC	11	11/73	ERO INDUSTRIES INC	7,8,14	11/73
AMERICAN MEDICORP INC	7,8,9,13	11/73	EVANS & MITCHELL INDUSTRIES INC	7,14	11/73
AMERICAN UNDERWRITERS INC	2,14	11/73	EXECUTIVE DATA SYSTEMS INC	13	11/73
ANALOGIC CORP	13	11/73	EXTRACORPoreal MEDICAL SPECIALTIES INC	7	11/73
ANAREN MICROGAVE INC	11	11/73	FARLAND INDUSTRIES INC	7,8	11/73
ARM INDUSTRIES INC	3,6,13,14	11/73	FINANCIERA METROPOLITANA S A	7	11/73
WALTER CORP	7,14	11/73	FIRST DYNA CORP	10	11/73
BANDIAG INC	2,14	11/73	FIRSTMARK CORP	7,8,13	11/73
BANGOR PUNTA CORP	9	11/73	FLORIDA GAS CO	11	11/73
BEAVER CREEK INDUSTRIES INC	13	11/73	FLORIDA INVESTMENT TRUST	13	11/73
BEECH AIRCRAFT CORP	7,10	11/73	FLORIDA POWER & LIGHT CO	3,13	11/73
BELMONT INDUSTRIES INC PENNSYLVANIA	2,14	11/73	FORUM RESTAURANTS INC	13	11/73
BELONT INC	7,14	11/73	FRONTIER AIRLINES INC	13	11/73
BOMAIN CORP	3	11/73	GAC CORP	6,13	11/73
BRANIFF AIRWAYS INC	1,2,3,6,9,8,10,14	11/73	GALVESTON HOUSTON CO	13	11/73
BUDU CO	4,14	11/73	GINN M S & CO	2,14	11/73
BUILDING SYSTEMS INC	13,14	11/73	GLASCO INC	7	11/73
BURNHAM AMERICAN PROPERTIES	3	11/73	GLUCKEN WILLIAM CO LTD	3,13	11/73
CADENCE INDUSTRIES CORP	8	11/73	GREEN GIANT CO	13	11/73
CANADIAN HYDROLABRONS LTD	7	11/73	GRT CORP	11,14	11/73
CANAL RANDOLPH CORP	13,14	11/73	HABITEX INDUSTRIES INC	14	11/73
CAPITAL RESERVE CORP	2,14	11/73	HAYATANPA CIGAR CORP	11	05/73
CARLSBERG MOBILE HOME PROPERTIES LTD 73	2,14	11/73	HELLER WALTER E & CO	7,14	11/73
CECO CORP	3	11/73	HUGHES WILLIAM & CO INC	1,12,14	11/73
CENTRAL BANKSHARES OF THE SOUTH INC	3	11/73	HOFFMAN ELECTRONICS CORP	11,14	05/73
CHART HOUSE ENTERPRISES	13	11/73	HOUSING SYSTEMS INC NEW YORK	10,13	11/73
CHC CORP	11,14	11/73	HYDRO MED SCIENCES INC	13,14	12/73
CHERRY HILL PUDDS INC	13	10/73	HYNES & HONES MORTGAGE CO	7	01/73
CHOMERICS INC	11,14	11/73	HYNES & HONES SECURITIES CO	3,13,14	11/73
CITATION MANUFACTURING CO INC	3,14	11/73	IEA CORP	2,3,12,13	11/73
COAST CATAMARAN CORP	7,8,14	11/73	ILLINOIS CENTRAL INDUSTRIES INC	3	11/73
COASTAL STATES GAS PRODUCING CO	3,13,14	11/73	IMPERIAL CORP OF AMERICA	7,8	11/73
CULMAN CABLE & WIRE CO	2,14	10/73	INFLIGHT SERVICES INC	14	11/73
CULONY KITCHENS INC	11,14	10/73	INSPIRATION CONSOLIDATED COPPER CO	14	12/73
COMET COALITION MINES CO	2,14	05/73	INSTRUMENT SYSTEMS CORP	3,13,14	11/73
COMPUTER RESEARCH INC	3,13	11/73	INSYTE CORP	13	11/73
COMPUTER SCIENCES CORP	10,13,14	11/73	INTERLAKE INC	14	11/73
CONSUMERS WATER CO	7,10,14	11/73	INTERNATIONAL MULTIFOODS CORP	7,13,14	11/73
COTTON PETROLEUM CORP	7	10/73	INVESTORS SYNDICATE OF AMERICA INC	2,14	11/73
COVER GIRL OF MIAMI INC	11	12/73	ION EQUIPMENT CORP	7,9,14	07/73
CURTIS PUBLISHING CO	13	11/73	INDUQUIS BRANDS LTD	8,9	11/73
DAVIS INC	13,14	11/73	JANTZEN INC	7,10,13,14	11/73
DETROIT EDISON CO	14	11/73	JUSTHEIN PETROLEUM CO	3	11/73

NAME OF ISSUER	RESPONSE TO ITEM	DATE OF REPORT	NAME OF ISSUER	RESPONSE TO ITEM	DATE OF REPORT
KANER SERVICES INC	13,14	11/73	POWER SKI CORP	7,13	11/73
KELTEC INC	1,11	11/73	PRELUDE CORP	2,10,14	11/73
KNUTT HOTELS CORP	6	11/73	PRICE T ROWE ASSOCIATES INC	2,3,14	11/73
LAC INDUSTRIES LTD	11	11/73	PROVIDENCE & WORCESTER CO	13	11/73
LEAR SIEGLER INC	11	11/73	PULLMAN INC	2,7,8,13,14	11/73
LEKTON ANCHOR REAL ESTATE FUND LTD 1972	3	11/73	RAINBOW PHOTO COLOR INC	2,14	10/73
LIFE INVESTORS INC	13	11/73	HAYNE INDUSTRIES INC	2,14	11/73
LIPPINGCOTT J & CO	8,14	11/73	REALTY & MORTGAGE INVESTORS OF THE PACIF	7	10/73
LITRONIX INC	3	11/73	REHAB CORP	2,4,8,11	11/73
LSB INDUSTRIES INC	7,10,13,14	11/73	ROBINTCH INC	7,14	11/73
MACRODYNE CHATILLON CORP	11	11/73	ROCOM INTERNATIONAL	3,4,13	11/73
MAGNETIC HEAD CORP	6	11/73	ROGERS BROTHERS CO	3	11/73
MAHDEPERK PARKING CO INC	13	11/73	ROHR INDUSTRIES INC	3,4,11,14	12/73
MARINE EXPLORATION CO INC	3	11/73	ROHEM CORP	3,14	06/73
MASS MERCHANTS INC	3,14	11/73	SALLIN WELCH & CO INC	8	11/73
MASSACHUSETTS ELECTRIC CO	3,11	11/73	SANTA FE INDUSTRIES INC	3,10,14	11/73
MCCULLUCH OIL CORP	13,14	11/73	SCHLANG & CO INC	11	11/73
MEADOWBROOK INC	11	11/73	SCOTTEX CORP	2,10	11/73
MEM CO INC	6	11/73	SECURITY INVESTING CO LTD	3,12,14	11/73
METROPOLITAN DEVELOPMENT CORP	9	11/73	SIERRA RESEARCH CORP	10	11/73
MILLER WOLFE CO INC	3,10,14	11/73	SMITHFIELD FOODS INC	14	11/73
MINI PART CORP	2	11/73	SOUTHERN CALIFORNIA EDISON CO	7,13	11/73
MITCHELL ENERGY & DEVELOPMENT CORP	12	11/73	SOUTHERN CO	7,14	11/73
MITRE INDUSTRIES INC	11	11/73	STANDARD OIL CO	3,4,7,14	11/73
MOLYBDENUM CORP OF AMERICA	8	06/73	STANSCO DEVELOPERS INC	12,13,14	11/73
MPC INC	2,14	11/73	STATE MUTUAL INVESTORS	7,8,14	11/73
NPO VIDEOTECHNICS INC	13,14	11/73	STP CORP	14	11/73
MULTICOM CORP	8,10,11	11/73	STRATFORD OF TEXAS INC	2,13,14	11/73
RYLES LEE CORP	11	11/73	SUPERIOR MANUFACTURING & INSTRUMENT CORP	2,14	11/73
NAHAGANSETH ELECTRIC CO	3,7,13	11/73	SYMETRICS INDUSTRIES INC	13	11/73
NATHANS FAMOUS INC	1,14	11/73	SYNCHRONER CORP	13	11/73
NATIONAL COMMUNITY BUILDERS	2,3	11/73	TALCOTT JAMES INC	7,14	11/73
NATIONAL PRESTO INDUSTRIES INC	13,14	11/73	TOA INDUSTRIES INC	13,14	11/73
NATIONAL TEA CO	13,14	11/73	TELCOM INC	11	11/73
NBS FINANCIAL CORP	4,13,14	11/73	TELEPHONE UTILITIES INC	2,7,14	11/73
NEUTEC CORP	2,14	11/73	TEMPLEY INDUSTRIES INC	10	11/73
NEW ENGLAND BANKCORP INC	2,13,14	11/73	TENNECO CORP	3	11/73
NEW JERSEY BELL TELEPHONE CO	14	11/73	THOMAS INDUSTRIES INC	7,14	11/73
NEWLUX INC	2,14	11/73	TIPPERARY CORP	2,14	11/73
NL INDUSTRIES INC	13	11/73	TOPSYS INTERNATIONAL INC	14	10/73
NORTH AMERICAN CAR CORP	7,14	11/73	TOPSYS INTERNATIONAL INC	8	11/73
NORTHERN STATES BANKCORPORATION INC	7,13,14	11/73	TRANSCONTINENTAL OIL CORP	7,14	11/73
OHIO REAL ESTATE EQUITIES CO	3,14	11/73	TREASURE ISLE INC	1,13,14	11/73
OHIO REAL ESTATE INVESTMENT CO	3,14	11/73	TYCO LABORATORIES INC	11,13	11/73
OKLAHOMA NATURAL GAS CO	13	12/73	UNICARE SERVICES INC	6,13,14	11/73
ON LINE SYSTEMS INC	14	09/73	UNICITY INC	4,7,8,11,14	11/73
OPTICAL SYSTEMS CORP	13,14	11/73	UNIFLEX INC	7,13	11/73
OSR CORP	2,13,14	11/73	UNIFUND LEASING INC	11,14	11/73
PACIFIC AMERICAN REAL ESTATE FUND 1972	7,14	11/73	UNIONAMERICA INC	3	11/73
PASQUALE FOOD CO INC	13	11/73	UNITED BRANDS CO	13,14	11/73
PERM PACIFIC CORP	7,13,14	11/73	UNITED EQUITABLE CORP	3	11/73
PEMBQUIL OFFSHORE GAS OPERATORS INC	2,7,8,14	11/73	UNITED STATES SHELTER LTD PARTNERSHIP	2	11/73
PERFORMANCE SYSTEMS INC	13	11/73	VENTURA INTERNATIONAL INC	13,14	11/73
PHILLIPS SKEW CO	2,13,14	11/73	VOCATIONAL ADVANCEMENT SERVICES INC	8,13,14	11/73
PIONEER INSURANCE CO	1,13,14	11/73	WALGREEN CO	13	11/73
PIONEER SYSTEMS INC	10	11/73	WELBILT CORP	10,14	11/73
PITNEY BOWES INC	10,14	11/73	WESTERN EMPIRE FINANCIAL INC	1,3	11/73
PLANTFONICS INC	7	11/73	WESTERN STATES PRODUCING CO	1,2,7,11,14	11/73

NAME OF ISSUER	RESPONSE TO ITEM	DATE OF REPORT	NAME OF ISSUER	RESPONSE TO ITEM	DATE OF REPORT
WESTGATE CALIFORNIA CORP	3,6	11/73			
WIEGOLD STONES INC	10	11/73			
WVLY CORP	2,4,7,9,10,14	11/73			
YUNNER BROTHERS INC	8	11/73			

## AMENDMENTS TO REPORTS ON FORM 8-K

ABEX CORP	12,14	06/73
AMINEX CORP	8,14	10/73
ANIXTER BROTHERS INC	14	10/73
ARTS WAY MANUFACTURING CO INC	14	09/73
BANTAM BOOKS INC	3	10/73
BLOUNT INC	2,14	04/73
CAMERON BROWN INVESTMENT GROUP	13	08/73
COMU INC	10	07/73
ECODYNE CORP	14	10/73
FIRST BUILDERS CORP	9,13	12/73
FIRST NORTHWEST INDUSTRIES OF AMERICA INC	14	01/73
FLORIDA POWER & LIGHT CO	3	11/73
GLOBE UNIC INC	13,14	11/73
GREAT NORTHERN MANAGEMENT CO INC	3,13	08/73
GUARDIAN DEVELOPMENT CORP	14	11/73
HEINE M J CO	14	09/73
HODGSON HOUSES INC	2,14	09/73
IDEAL BASIC INDUSTRIES INC	14	10/73
JAEGER MACHINE CO	10,14	10/73
LINCOLN NATIONAL CO	10	06/73
LINDSEY GEORGE INTERNATIONAL INC	10	09/73
MAYFLOWER CO	1,4	09/73
MIDLAND OIL CORP	2	09/73
NORTHWESTERN FINANCIAL INVESTORS	11,14	08/73
NYOH CORP	14	10/73
OPTICS TECHNOLOGY INC	9	10/73
PENN TECH CORP	2,13	11/73
REALTY & MORTGAGE INVESTORS OF THE PACIF	4,7,14	10/73
SHOREWOOD CORP	3	10/73
SHOWBOAT INC	13	11/73
SOUTHWEST FOREST INDUSTRIES INC	3,13,14	10/73
UIP CORP	14	10/73
WUMETCO ENTERPRISES INC	13	11/73

## EXPLANATORY NOTES

### FORM 8-K

With certain limited exceptions, Form 8-K is required to be filed by every issuer having securities registered pursuant to Section 12 of the Securities Exchange Act of 1934, within 10 days after the close of any month during which any of the events specified in that form occurs. The events covered by Form 8-K and their corresponding item numbers on the form are shown below:

- Item 1. Changes in Control of Registrant.
- Item 2. Acquisition or Disposition of Assets.
- Item 3. Legal Proceedings.
- Item 4. Changes in Securities.
- Item 5. Changes in Security for Registered Securities.
- Item 6. Defaults upon Senior Securities.
- Item 7. Increase in Amount of Securities Outstanding.
- Item 8. Decrease in Amount of Securities Outstanding.
- Item 9. Options to Purchase Securities.
- Item 10. Revaluation of Assets or Restatement of Capital Shares Account.
- Item 11. Submission of Matters to a Vote of Security Holders.
- Item 12. Changes in Registrant's Certifying Accountant.
- Item 13. Other Materially Important Events.
- Item 14. Financial Statements and Exhibits.



## Round-Lot and Odd-Lot Stock Transactions

### EXPLANATORY NOTES

Total round-lot transactions reported in these tables include all stock transactions, effected in round lots, excluding transactions in rights. Warrants traded on the American Stock Exchange only have been included since October, 1966; and on the New York Stock Exchange they have been included since January, 1972. Round-lot transactions are transactions in the unit of trading or multiples thereof; odd-lot transactions are those involving a number of shares less than the unit of trading. On the New York Stock Exchange, the unit of trading for most stocks is 100 shares, while some less active stocks have a 10-share unit. On the American Stock Exchange, the unit of trading for a given issue may be 100 shares, 50 shares, 25 shares, or 10 shares. All sales totals in these tables include short sales. Short sales include only those short sales which are restricted under the rules; "exempt" short sales are not included. The term "members" includes regular and associate exchange members, exchange member firms, general, special and limited partners in member firms, and voting and nonvoting stockholders in member corporations.

#### Round-Lot Stock Transactions on the New York Stock Exchange.

Total round-lot sales on the New York Stock Exchange are slightly larger than the round-lot volume reported on the ticker tape of that exchange. The difference between total round-lot sales and "reported" volume currently averages less than 2 percent on a weekly basis.

On the New York Stock Exchange, the transactions of specialists in the stocks in which they are registered include all round-lot transactions in an issue by a member for his own account or his firm's account while the member was acting as specialist in that issue. Transactions for the odd-lot account are excluded, as are transactions for the member's account in issues other than those in which he was acting as specialist. For specialists who also act as odd-lot dealers in certain issues, round-lot trades for odd-lot accounts are included with round-lot trades of odd-lot dealers in the succeeding columns. To obtain total-activity data for odd-lot dealers, it is necessary to combine the odd-lot figures and the odd-lot dealers' round-lot figures from the two New York Stock Exchange tables.

#### Odd-Lot Customers' Transactions in 100 Selected Stocks.

The odd-lot series consisting of weekly totals of customers' odd-lot purchases and sales in 100 selected stocks listed on the New York Stock Exchange is furnished to the Commission by one odd-lot dealer firm. At present, the 100 stocks, which include the 30 stocks in the Dow-Jones Industrial Average and other market leaders, represent approximately one-third of total odd-lot customers' purchases and sales. The list of stocks is subject to change from time to time.

#### Round-Lot and Odd-Lot Stock Transactions on the American Stock Exchange.

Total round-lot sales on the American Stock Exchange differ from the round-lot volume on that exchange reported on the ticker because the ticker or "reported" volume includes the round-lot sales of rights and fails to include certain classes of round-lot stock transactions.

On the American Stock Exchange, round-lot transactions of specialists in stocks in which they are registered are not directly comparable with the round-lot trades of specialists on the New York Stock Exchange, since on the American Stock Exchange odd-lot transactions are handled solely by specialists, and the round-lot transactions of specialists resulting from such odd-lot transactions are not segregated from the specialists' other round-lot trades.

MARKET VALUE AND VOLUME OF SALES ON UNITED STATES SECURITIES EXCHANGES  
(ALL DATA ARE IN THOUSANDS)

		STOCKS			BONDS		WARRANTS		RIGHTS	
		TOTAL MARKET \$VALUE	\$VALUE	SHARES	\$MARKET	PRINCIPAL	\$VALUE	UNITS	\$VALUE	UNITS
1972	NOVEMBER	19,600,944	18,540,000	556,304	935,611	989,329	124,332	12,816	997	654
1972	DECEMBER	18,792,704	17,856,240	547,422	807,450	866,542	128,541	13,745	471	109
1973	JANUARY	19,913,024	18,926,416	565,387	841,208	952,195	144,884	15,495	510	4,447
1973	FEBRUARY	15,895,994	15,061,807	446,376	734,022	790,095	99,592	14,420	572	478
1973	MARCH	17,354,672	16,486,175	519,226	783,467	869,208	83,738	10,012	1,308	10,305
1973	APRIL	13,742,894	12,878,376	407,506	781,703	923,557	80,786	8,834	2,030	12,283
1973	MAY	15,669,631	14,931,255	474,918	645,898	738,593	91,909	11,789	569	1,150
1973	JUNE	12,769,567	12,084,650	409,344	615,346	725,358	88,385	10,223	1,187	7,361
1973	JULY	12,584,940	11,927,451	398,904	604,888	701,326	51,997	7,538	605	1,230
1973	AUGUST	13,470,102	12,658,572	424,059	766,195	852,429	45,027	6,589	309	127
1973	SEPTEMBER	13,310,284	12,622,968	407,507	622,730	669,172	62,658	7,971	1,927	7,812
1973	OCTOBER	19,568,224	18,726,192	587,385	741,952	823,721	98,563	11,211	1,521	6,242
1973	NOVEMBER	18,217,408	17,501,424	560,101	628,276	708,699	87,359	11,132	349	915

BREAKDOWN FOR NOVEMBER, 1973

* AMERICAN STOCK EXCHANGE	1,066,300	993,298	65,220	28,548	32,841	44,452	6,759	2	1
* BOSTON STOCK EXCHANGE	185,481	185,479	4,249	0	0	2	0	0	0
* CHICAGO BOARD OF TRADE	0	0	0	0	0	0	0	0	0
* CINCINNATI STOCK EXCHANGE	9,174	9,173	224	1	1	0	0	0	0
DETROIT STOCK EXCHANGE	39,850	39,848	1,111	0	0	1	0	0	0
MIDWEST STOCK EXCHANGE	770,899	770,937	22,743	149	252	7	1	305	53
NATIONAL STOCK EXCHANGE	1,905	1,905	505	0	0	1	1	0	0
* NEW YORK STOCK EXCHANGE	15,162,791	14,527,611	435,244	597,925	672,624	37,213	3,075	42	861
PACIFIC COAST STOCK EXCHANGE	540,198	533,855	17,376	1,635	2,950	4,707	1,259	0	0
* PHILA.-BALT.-WASH. STOCK EXCHANGE	440,386	439,393	12,340	18	31	975	35	0	0
INTERMOUNTAIN STOCK EXCHANGE	51	51	125	0	0	0	0	0	0
SPECKANE STOCK EXCHANGE	384	384	962	0	0	0	0	0	0

MARKET VALUE AND VOLUME OF SALES ON ALL EXEMPTED SECURITIES EXCHANGES  
(ALL DATA ARE IN THOUSANDS)

1973	NOVEMBER	58	58	7	0	0	0	0	0
BREAKDOWN FOR NOVEMBER, 1973									
HONOLULU STOCK EXCHANGE	58	58	7	0	0	0	0	0	0

NA = NOT AVAILABLE

R = REVISION OF PREVIOUSLY PUBLISHED DATA

† = GREATER THAN ZERO BUT LESS THAN 500

SEE EXPLANATORY NOTES ON PAGE 12

## EXPLANATORY NOTES

### Market Value and Volume of Sales on Registered and Exempted Securities Exchanges

The data presented in this table are of two types depending upon the method of aggregation used by each exchange. Reports of those exchanges marked with an asterisk cover transactions cleared during the calendar month; clearances occur for the most part within five days of the execution of a trade. Reports for other exchanges cover transactions effected on trade dates falling within the report month. The variance introduced by these two different methods of aggregating the data is not considered to be significant and accordingly all registered exchanges are aggregated and reported in monthly summaries.

Stock data include voting trust certificates, certificates of deposit for stocks and American Depositary Receipts for stocks.

Bond data have excluded transactions covering United States Government issues since March 1944.

Warrants data include trading in rights for all periods prior to January, 1972.

## EFFECTIVE REGISTRATIONS UNDER THE SECURITIES ACT OF 1933

(Amounts in Millions of Dollars)

	1972	1973	1973		
	January-November	January-November	November	October	November
EFFECTIVE REGISTRATIONS . . . .	3,323	2,719	298	249	287
TOTAL DOLLAR AMOUNT . . . . .	59,041	50,806	6,330	5,079	5,789

	Number of Issues	Amount	Number of Issues	Amount	Number of Issues	Amount	Number of Issues	Amount	Number of Issues	Amount
PRIMARY CORPORATE OFFERINGS	1,665	26,981	857	21,342	132	2,355	86	2,535	95	2,864
Bonds, notes and debentures . . . .	397	16,094	244	11,521	23	1,325	17	1,743	32	1,581
Preferred stock . . . . .	74	2,163	50	2,196	6	154	9	205	9	617
Common stock . . . . .	955	6,520	304	4,047	80	625	27	298	29	484
Unseasoned . . . . .	585	1,582	171	296	46	123	13	33	13	16
Seasoned . . . . .	370	4,938	133	3,751	34	502	14	266	16	468
Closed-end shares <sup>1/</sup> . . . . .	N/A	N/A	28	1,517	N/A	N/A	5	71	0	0
Other Equity Securities . . . . .	239	2,204	231	2,060	23	251	28	217	25	182
SECONDARY OFFERINGS	1,038	6,446	377	2,220	85	350	23	142	35	341
Cash sale . . . . .	587	4,557	102	1,269	43	187	6	113	10	204
Other than cash sale . . . . .	451	1,889	275	951	42	163	17	29	25	137

	Amount				
FOR EXTENDED CASH SALE AND OTHER ISSUES <sup>1/</sup> . . . . .	18,708	13,675	3,039	1,201	909
Investment company issues . . . . .	12,479	7,369	2,657	779	606
Employee savings and thrift plans . . . . .	2,270	1,788	40	54	79
Employee stock option plans . . . . .	3,506	3,405	321	292	154
Other employee plans . . . . .	453	916	21	76	53
Dividend reinvestment plans . . . . .	*	197	*	0	17
FOREIGN GOVERNMENT . . . . .	424	860	35	184	40
OTHER NON CASH ISSUES . . . . .	6,483	12,709	552	1,016	1,635
Exchange transactions <sup>2/</sup> . . . . .	1,137	10,420	114	691	1,326
Reserved for conversion . . . . .	2,302	1,339	153	277	155
Warrants and options . . . . .	1,345	286	59	18	17
Other . . . . .	1,698	663	226	29	136

\* Dividend reinvestment plans tabulated beginning January 1973.

<sup>1/</sup> Closed-end investment companies were included in extended cash sale until December 1972. Closed-end shares include preferred and common stock.<sup>2/</sup> Includes mergers and consolidations subject to registration under 1933 Act, Rule 154, effective January 1973.

## EXPLANATORY NOTES

### Registrations

Data cover all registrations which became effective under the Securities Act of 1933 during the period covered. Issues are included as of the effective date, with the exception of those subject to post-effective amendment to report terms of offering. These are included as of the date of the post-effective amendment.

The classification primary corporate offerings refer to registered offerings for immediate cash sale where the proceeds of the offering are at the disposal of the issuing corporations. Secondary offerings are registrations of outstanding securities where the proceeds of the issue do not accrue to the issuing company. The dollar amount for both type offerings is based generally on the initial offering price. The classification unseasoned common stock includes initial offerings by companies registering common stock for the first time under the Securities Act of 1933, whereas seasoned common stock offerings are registrations by companies previously having securities registered under the 1933 Act. Other equity securities classification consists of offerings of certificates of participation or beneficial interests, warrants or options, voting trust certificates and other equity securities.

Issues to be offered for extended cash sale include investment company issues, and all offerings of employee savings and stock option plans. The classification foreign government is shown separately, whereas registrations by foreign corporations are included in with corporate offerings. Investment company securities include open-end, face-amount and unit trust offerings. Closed-end securities are included in primary corporate offerings.

Issues registered for other noncash purposes such as exchange transactions, securities given for property or services, or reserved for conversion are generally valued at the current market prices.

In order to eliminate double counting, the number of issues are shown for primary and secondary offerings only. However, effective registrations cover all cash offerings, noncash offerings, and offerings for extended cash sale.

Dollar amounts have been rounded and will not add to totals.



## EXPLANATORY NOTES

### Securities Offerings

The data in these tables cover substantially all new issues of securities offered for cash sale in the United States in amounts over \$100,000 and with terms to maturity of more than one year. In addition to publicly-offered issues which are registered under the Securities Act of 1933, the series includes privately-placed issues and other securities exempt from registration. Excluded from the data on new cash offerings are: notes issued exclusively to commercial banks; intercorporate transactions; secondary distributions; issues of investment companies; and United States Government "Special Series" issues and others sales directly to Federal agencies and trust accounts. The data on publicly-offered issues include a small amount of unsold securities, chiefly nonunderwritten issues of small companies. The figures on privately-placed issues include securities actually issued but exclude those which institutions had contracted to purchase but which were not taken down during the period covered by the statistics. Issues classified as privately-placed are issues sold to a restricted number of investors without public offerings. Issues sold by competitive bidding directly to investors are treated as publicly-offered. Monthly and annual data on corporate security offerings back to 1934 may be obtained on request.

Registered offerings as shown in these "Securities Offerings" tables differ in several respects from data included in the tables covering "Effective Registrations" which appear monthly in the Bulletin. The more important differences are: (1) only securities offered for cash sale for account of issuers are included under "Securities Offerings"; (2) sales of investment company issues, as noted above, are excluded; (3) issues to be sold over an extended period, such as offerings under employee-purchase plans, are excluded; and (4) data are entered in the offerings statistics as of the date of public offering which is not always the same as the date of effective registration.

Among the issues exempt from registration under the Securities Act of 1933 but included in these offerings statistics are: issues privately placed; intrastate offerings; securities of rail-road companies; issues of Federal, State, and local governments; issues of Federal agencies, including participation certificates; issues of international banks; issues of banks and eleemosynary institutions; and issues between \$100,000 and \$500,000 in size offered pursuant to amendment of Regulation A of the Securities Act of 1933.

These tables are based on material filed with the Commission in connection with the various Acts administered and questionnaires received from companies issuing securities without registration under the Securities Act of 1933. Notices of offering are obtained from the financial press, financial manuals, periodicals, and special reports from leading life insurance companies, as well as from material filed with the Commission. Current data for offerings of state and municipal securities are the compilations of The Bond Buyer; unlike other data presented here, these represent principal amounts instead of gross proceeds. All figures are subject to revision as new data are received.



## EXPLANATORY NOTES

### New Convertible Bonds Offered for Cash in the United States

The data in these tables cover substantially all new issues of convertible bonds offered for cash sale in the United States in amounts over \$100,000 and with terms to maturity exceeding one year, for the years 1956 to date. Quarterly and monthly data are provided to the extent available. These issues are included in the new corporate securities series published monthly in this bulletin.

In addition to publicly-offered registered debentures, the series includes privately-placed convertible notes and other issues exempt from registration under the Securities Act of 1933. Among the issues exempt from registration but included in this series are: intra-state offerings; issues of railroad companies; securities of banks; and small issues offered pursuant to Regulation A of the Securities Act. Excluded from these data are intercorporate transactions, secondary distributions and privately-placed issues contracted for but not taken down during the period covered by the statistics.

These tables are based on materials filed with the Commission in connection with the administration of regulatory authority and on confidential data received from individual companies. The dates of all offerings and placements of issues are obtained from financial periodicals, the daily press, and reports from the major financial institutions, as well as from material on file in the Commission. The dollar amounts shown represent gross proceeds and are subject to minor revisions.

## EXPLANATORY NOTES

### Net Change in Corporate Securities Outstanding

Estimates of net cash flow in securities are derived by deducting from the amount of estimated proceeds received by domestic corporations through the sale of securities the amount of estimated payments by domestic corporations to investors for securities retired. The figures on total new issues of securities are based on the corporate offering series (appearing on earlier pages of this Bulletin), with certain adjustments. For instance, sales of stock to employees are included, whereas such sales are not covered in the corporate offering series, and a deduction is made from the original data for foreign issues sold in the United States. Also an adjustment is made to deduct from the total offerings the amount of issues which, although they were offered for sale, were not actually sold. The series on retirements covers the same types of issues as in the offerings series, and includes issues retired with internal funds as well as with proceeds from new issues sold for refunding purposes. The series is formed chiefly from individual records of each security issue retired through a cash transaction. The individual records are compiled from announcements appearing in the financial press and statistical services, and are supplemented by data for companies which are required to file periodic reports with the Commission.

The figures are not all-inclusive, but it is believed that the amount of issues omitted is small in relation to the volume covered. It is probable that the deficiencies in the series are of less significance in the post-war period than for earlier years. Certain types of transactions not included in the offerings statistics are unknown sales, such as small private placements, and issues exchanged for assets or other securities of the same type. Furthermore, new issues do not usually include entrepreneurial capital used in forming new firms without resort to outside securities financing, nor is the liquidation of small firms usually included in the retirement data. Purchases of own company stock for servicing options or thrift plans are not treated as retirements. It is probable that many small retirements of small companies may be omitted. To some extent the volume of new issues omitted is compensated by the volume of retirements omitted.

It should be noted that the series omits exchanges and defaults unless they involve cash payments. An exception is made in the case of conversions or exchanges of one type of security for another, such as debentures converted into common stock, which are included in issues and in retirements to the extent known. Although this results in inflated individual totals for issues and retirements, the net cash flow is unaffected, and more accurate data for net debt issues and net stock issues result.

## INDEX OF SERIES APPEARING IN THE STATISTICAL BULLETIN

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W-3	ODD-LOT CUSTOMERS SHARE VOLUME ON THE NYSE: 100 COMMON STOCKS	CURRENT ISSUE COVERS 4 WEEKS ENDED 2 FRIDAYS EARLIER										
W-4	ROUND LOT AND ODD-LOT SHARE VOLUME ON THE AMEX	CURRENT ISSUE COVERS WEEK ENDED 3 FRIDAYS EARLIER										
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The 5 week recapitulation statistics, series M-2, M-3 and M-4, are being dropped. In their place, calendar month series will be substituted. The first summaries are scheduled for publication in mid January.

Persons using the 5 week recapitulations for member and non-member share volume statistics may easily maintain continuity by using the weekly tables appearing at the beginning of each Bulletin. The following formulas apply to each type of transaction, purchase, sale and short.

$$\text{AMEX MEMBER VOLUME} = (\text{Col. 2} + \text{Col. 3} + \text{Col. 4})^{1/}$$

$$\text{AMEX NON MEMBER VOLUME} = \text{Col. 1}^{1/} - (\text{AMEX MEMBER VOLUME})$$

$$\text{NYSE MEMBER VOLUME} = (\text{Col. 2} + \text{Col. 3} + \text{Col. 4})^{2/} + \text{Col. 3}^{3/}$$

$$\text{NYSE NON MEMBER VOLUME} = \text{Col. 1}^{2/} - (\text{NYSE MEMBER VOLUME})$$

For example, member and non-member purchases on the NYSE for the week ending 12/14/73 may be calculated as follows:

Col. 2 page 27	14,047,220
Col. 3 page 27	577,600
Col. 4 page 27	+ 7,296,175
Subtotal	21,920,995
Col. 33 page 28	+ 661,740
Member purchases	22,582,735
Col. 1 page 27	95,852,860
Member purchases	-22,582,735
Non-member purchases	73,290,125

1/ Source: Round-Lot and Odd-Lot Share Volume on the American Stock Exchange

2/ Source: Round-Lot Share Volume on the New York Stock Exchange

3/ Source: Share Volume For Odd-Lot Accounts of Odd-Lot Dealers on the New York Stock Exchange

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SUBSCRIPTION PRICE: \$28.70 A YEAR: \$7.20 ADDITIONAL FOR FOREIGN MAILING

THE PRINTING OF THIS PUBLICATION HAS BEEN APPROVED BY THE  
DIRECTOR OF THE BUREAU OF THE BUDGET (JAN. 22, 1983)

